

IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Iddys D. Figueroa et al.

Confirmation No.:

Application No.:

Examiner:

Filing Date: Mar. 15, 2004

Group Art Unit:

Title: APPLICATION OF A BIOACTIVE AGENT TO A DELIVERY SUBSTRATE

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b), or  
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:  
☐ Statement under 37 CFR 1.97(e), or  
☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97 (d) together with a:  
☐ Statement under 37 CFR 1.97(e)(1) or (2), and  
☐ a \$180.00 fee set forth in 37 CFR 1.17(p).  
(Filed after final action, a notice of allowance, on or before payment of the issue fee)

Please charge to Deposit Account **08-2025** the sum of \$0.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account **08-2025** pursuant to 37 CFR 1.25.

☒ Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Statement together with any required copies of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

☐ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individuals(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

"Express Mail" label no. EV 377361233 US

Date of Deposit Mar. 15, 2004

I hereby certify that this is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Commissioner for Patents, Alexandria, VA 22313-1450.

By



Typed Name: Christie A. Doolittle

Respectfully submitted,

Iddys D. Figueroa et al.

By 

Walter W. Karnstein

Attorney/Agent for Applicant(s)

Reg. No. 35,565

Date: Mar. 15, 2004

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

200315726-1

APPLICATION NO.

CONFIRMATION NO.

APPLICANT

Iddys D. Figueroa et al.

FILING DATE

Mar. 15, 2004

GROUP

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	1A	4,088,750	05/09/1978	Cresswell et al.	
	1B	4,826,689	05/02/1989	Violanto et al.	
	1C	4,952,402	08/28/1990	Sparks et al.	
	1D	5,145,684	09/08/1992	Liversidge et al.	
	1E	5,209,933	05/11/1993	MacFarlane et al.	
	1F	5,470,584	11/28/1995	Hendrickson et al.	
	1G	5,512,302	04/30/1996	Atkin et al.	
	1H	5,552,160	09/03/1996	Liversidge et al.	
	1I	5,869,170	02/09/1999	Cima et al.	
	1J	6,346,533	02/12/2002	Cha et al.	
	1K	6,592,902	07/15/2003	Thosar et al.	

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	1L					
	1M					
	1N					
	1O					
	1P					

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

	1Q	"Guidance for Industry Q3C Impurities: Residual Solvents", U.S. Department of Health and Human Services, Food and Drug Administration, December 1997
	1R	"Guidance for Industry Q3C - Tables and Lists", U.S. Department of Health and Human Services, Food and Drug Administration, November 2003
	1S	

EXAMINER

DATE CONSIDERED

**PATENT APPLICATION**

Sheet 2 of 2

<b>FORM PTO-1449</b>  <b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>  (Use several sheets if necessary)	ATTY. DOCKET NO. <b>200315726-1</b>	APPLICATION NO.	CONFIRMATION NO.
APPLICANT <b>Iddys D. Figueroa et al.</b>			
FILING DATE <b>Mar. 15, 2004</b>		GROUP	

**REFERENCE DESIGNATION**

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	2A	6,623,785	09/23/2003	Childers	
	2B	2003/0065294	04/03/2003	Pickup et al.	
	2C				
	2D				
	2E				
	2F				
	2G				
	2H				
	2I				
	2J				
	2K				

**FOREIGN PATENT DOCUMENTS**

		DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	Pages/Columns/Lines Where Relevant Passages/Figures Appear	Check if Translation attached
	2L					
	2M					
	2N					
	2O					
	2P					

**OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)**

	2Q	
	2R	
	2S	

EXAMINER	DATE CONSIDERED
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